

RECEIVED

2/52

AUG 30 2001

Technology Center 2100

PATENT

#3
Dw
11/26/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Royan H. Bartley et al. : Date: August 21, 2001
Group Art Unit: Unassigned : IBM Corporation
Examiner: Unassigned : Intellectual Property Law
Serial No.: 09/892,435 : Dept. 917, Bldg. 006-1
Filed: June 27, 2001 : 3605 Highway 52 North
Title: APPARATUS, METHOD, AND BUSINESS
METHOD FOR ENABLING CUSTOMER
ACCESS TO COMPUTER SYSTEM
EXECUTION DATA IN EXCHANGE FOR
SHARING THE EXECUTION DATA

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with

Serial No. 09/892,435
Docket No. ROC920010184US1

PATENT

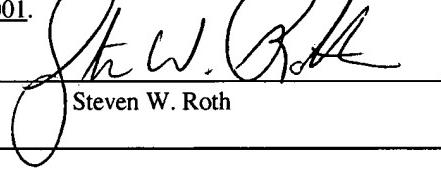
37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(1) within three months of the filing date of the present application. Accordingly no filing fee is required.

Date: August 21, 2001

**CERTIFICATE OF MAILING UNDER
37 C.F.R. 1.8(a)**

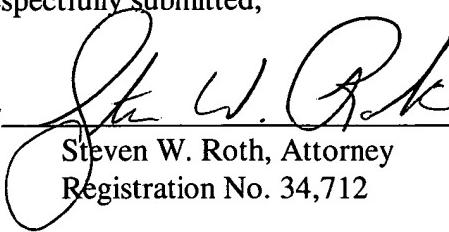
I hereby certify that the enclosed or attached correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on August 21, 2001.



Steven W. Roth

Respectfully submitted,

By



Steven W. Roth, Attorney
Registration No. 34,712

Telephone: (507) 253-1600
Fax: (507) 253-2382

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ROC920010184US1SERIAL NO.
09/892,435APPLICANT:
Royan H. Bartley et al.FILING DATE:
June 27, 2001GROUP:
Unassigned

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
AA						RECEIVED
AB						
AC						AUG 30 2001
AD						Technology Center 2100
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
						YES	NO
AL							
AM							
AN							
AO							
AP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

AR	U.S. Patent Application, "Apparatus, Method, and Business Method for Enabling Customer Access to Computer System	
	Performance Data in Exchange for Sharing the Performance Data," Serial No. 09/892,424, filed on June 27, 2001.	
AS	U.S. Patent Application, "Method and Apparatus for Automating Software Upgrades," Serial No. 09/912,975,	
	filed on July 25, 2001.	
AT	U.S. Patent Application, "Method and Apparatus Upgrade Assistance Using Critical Historical Product Information,"	
	Serial No., 09/865,371, filed on May 25, 2001.	

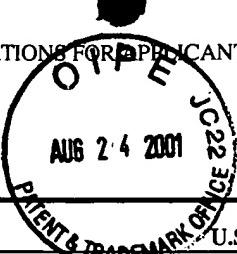
EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS
INFORMATION
DISCLOSURE STATEMENT
(Use several sheets if necessary)

ATTY. DOCKET NO.
ROC920010184US1SERIAL NO.
09/892,435APPLICANT:
Royan H. Bartley et al.FILING DATE:
June 27, 2001GROUP:
Unassigned

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
BA						RECEIVED
BB						AUG 30 2001
BC						Technology Center 2100
BD						
BE						
BF						
BG						
BH						
BI						
BJ						
BK						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	BL							
	BM							
	BN							
	BO							
	BP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

BR	U.S. Patent Application, "Physical Device Placement Assistant," Serial No. 09/865,798, filed on May 25, 2001.	
BS	AS/400 Publication, "Performance Management/400 Offerings and Services, including Performance Management/400 - Subset,"	
	Version 3, SC41-0145-02, September 1994.	
BT		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.